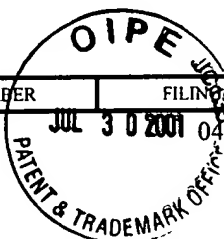




## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/835,088	JUL 30 2001 04/13/2001	Gary Reding	20697-301



CONFIRMATION NO. 2977

## FORMALITIES LETTER



\*OC000000006164091\*

OPPENHEIMER WOLFF & DONNELLY LLP  
Attn: Marc E. Brown, Esq.  
Suite 3800  
2029 Century Park East  
Los Angeles, CA 90067

Date Mailed: 06/08/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$156.
  - \$36 for 4 total claims over 20.
  - \$120 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 576.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

000000209835088  
08/01/2001 MAILED1  
01 FC:201  
02 FC:202  
03 FC:203  
04 FC:205  
355.00 US  
120.00 US  
36.00 US  
65.00 US

---

*A copy of this notice MUST be returned with the reply.*

*Seble*

---

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



sector

3

**PATENT**  
**Attorney Docket No. 20697-301**

**CERTIFICATE OF MAILING**

I hereby certify that on **July 25, 2001**, this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage in an envelope addressed to Assistant Commissioner for Patents, Attention: BOX MISSING PARTS, Washington, D.C. 20231. 37 CFR 1.8(a) ☒ with sufficient postage as first class mail

Jessica S. Brown

(Type or print name of person mailing paper)

Jessica S. Brown

(Signature of person mailing paper)

**Serial No. 09/835,088**

**Filed: April 13, 2001**

**Title: SYSTEM AND METHOD FOR  
AUTOMATED COMMODITIES  
TRANSACTIONS INCLUDING AN  
AUTOMATIC HEDGING FUNCTION**

**Applicants: Gary Reding, et al.**

**Group Art Unit No.: 2161**

**Examiner: Not known**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Commissioner for Patents  
Attention: BOX MISSING PARTS  
Washington, D.C. 20231

**RESPONSE TO**  
**NOTICE TO FILE MISSING PARTS OF APPLICATION**

Sir:

This is in response to the Notice to File Missing Parts of Application, mailed on June 8, 2001. A copy of "Part 2 – Copy to Be Returned with Response" is enclosed with this response.

**FILING FEES**

The required filing fee of \$355 and the additional claim fees of \$156 are enclosed.

**SURCHARGE**

The required surcharge of \$65 is enclosed.